



UNITED STATES PATENT AND TRADEMARK OFFICE

SEP 13 2001

 COMMISSIONER FOR PATENTS
 UNITED STATES PATENT AND TRADEMARK OFFICE
 WASHINGTON, D.C. 20231
 www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/854,924 | 09/14/2001 | Toshihisa Yokoyama | 782_163 |

 025191
 BURR & BROWN
 PO BOX 7068
 SYRACUSE, NY 13261-7068

CONFIRMATION NO. 7936

FORMALITIES LETTER



OC000000006284602

Date Mailed: 07/11/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

09/17/2001 MGBREM1 00000075 09854924

| | |
|-----------|-----------|
| 01 FC:101 | 710.00 OP |
| 02 FC:103 | 108.00 OP |
| 03 FC:105 | 130.00 OP |
| 04 FC:501 | 130.00 OP |

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$108.
 - \$108 for 6 total claims over 20.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 948.

A copy of this notice MUST be returned with the reply.

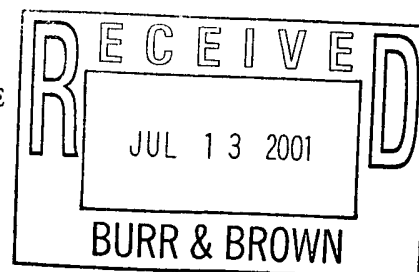
Customer Service Center

Initial Patent Examination Division (703) 308-1202

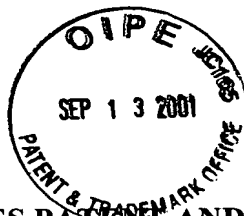
PART 2 - COPY TO BE RETURNED WITH RESPONSE

09/17/2001 MGBREM1 00000076 09854924

| | |
|-----------|-----------|
| 01 FC:101 | 710.00 OP |
| 02 FC:103 | 108.00 OP |
| 03 FC:105 | 130.00 OP |



Practitioner's Docket No.: 782_163



Secur\$
#3
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Toshihisa YOKOYAMA, Ken-ichi NODA, Katsuhiko IMAI and Minoru IMAEDA

Serial No.: 09/854,924

Art Unit: 1765

Filed: May 14, 2001

Examiner: Not Assigned

For: PROCESS AND APPARATUS FOR PRODUCING AN OXIDE SINGLE CRYSTAL

Box Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail addressed to **Box Missing Parts, Assistant Commissioner for Patents, Washington D.C. 20231** on September 10, 2001.

Sara L. Preston
Tara L. Preston

COMPLETION OF FILING REQUIREMENTS
— NONPROVISIONAL APPLICATION

(check and complete this item, if applicable)

- I. ☒ This replies to the Notice to File Missing Parts of Nonprovisional Application mailed July 11, 2001.
- ☒ A copy of the Notice to File Missing Parts of Nonprovisional Application—Filing Date Granted is enclosed.

DECLARATION OR OATH

- II. ☒ No declaration or oath was filed. Enclosed is the original declaration or oath for this application.

OTHER PAPERS ENCLOSED

- III. ☐ A Preliminary Amendment
☒ Assignment with Assignment Transmittal
☒ An Information Disclosure Statement with Form PTO-1449

TRANSMITTAL OF ENGLISH TRANSLATION OF NON-ENGLISH LANGUAGE PAPERS

- IV. ☐ Submitted herewith is an English translation of the non-English language application papers as originally filed. Also submitted herewith is a statement by the translator of the accuracy of the translation. It is requested that this translation be used as the copy for examination purposes in the PTO.

SMALL ENTITY STATUS

- V. ☐ Applicant(s) claim(s) small entity status. See 37 C.F.R. § 1.27.

COMPLETION FEES

- VI. **WARNING:** Failure to submit the surcharge fees where required will cause the application to become abandoned. 37 C.F.R. 1.53.

NOTE: For effect on fees of failure to establish status, or change status, as a small entity, see 37 C.F.R. 1.28(a).

1. Filing Fee
 - ☒ Original Patent Application \$ 710.00
(37 C.F.R. 1.16(a) --\$710.00; Small Entity--\$355.00)
2. Fees for Claims (26 Claims; 2 Indep.)
 - ☐ each independent claim in excess of 3
(37 C.F.R. 1.16(b) --\$80.00; small entity--\$40.00) \$.00
 - ☒ each claim in excess of 20
(37 C.F.R. 1.16(c) --\$18.00; small entity--\$9.00) \$ 108.00
 - ☐ multiple dependent claim(s)
(37 C.F.R. 1.16(d) --\$270.00; small entity--\$135.00) \$.00
3. Surcharge fees
 - ☒ late payment of filing fee \$ 130.00
(37 C.F.R. 1.16(k) --\$130.00; small entity--\$65.00)

and/or

- ☒ late filing of original declaration or oath \$.00
(37 C.F.R. 1.16(k) --\$130.00; small entity--\$65.00)

NOTE: If both the filing fee and declaration or oath were missing from the original papers, only one surcharge fee for both need be paid. 37 C.F.R. 1.16(k).

4. ☐ Petition and fee for filing by other than all the inventors or a person not the inventor
(37 C.F.R. Sections 1.17(i) and 1.47--\$130) \$.00
5. ☐ Fee for processing an application filed with a specification in a non-English language
(37 C.F.R. 1.17(k) and 1.52(d) --\$130.00) \$.00

6. ☐ Fee for processing and retention of application \$ _____ .00
(37 C.F.R. Sections 1.21(f) and 1.53(d) - \$130)

NOTE: 37 C.F.R. Section 1.21(f) establishes a fee for processing and retaining any application which is abandoned for failing to complete the application pursuant to 37 C.F.R. Section 1.53(f) and this, as well as, the changes to 37 C.F.R. Section 1.53 and 1.78 indicate that in order to obtain the benefit of a prior U.S. application, either the basic filing fee or the processing and retention fee of Section 1.21(f) within 1 year of notification under Section 1.53(f) must be paid.

7. ☒ Assignment Fee \$ 40.00

Total Completion Fees \$988.00

EXTENSION OF TIME

VII.

(complete (a) or (b), as applicable)

The proceedings herein are for a patent application, and the provisions of 37 C.F.R. 1.136(a) apply.

- (a) ☐ Applicant petitions for an extension of time, the fees for which are set out in 37 C.F.R. 1.17(a)(1)-(4), for the total number of months checked below:

| Extension (Months) | | Fee for other than small entity | Fee for small entity |
|-----------------------|--------------|------------------------------------|-------------------------|
| | One Month | \$ 110.00 | \$ 55.00 |
| | Two Months | \$ 390.00 | \$ 195.00 |
| | Three Months | \$ 890.00 | \$ 445.00 |

Extension Fee \$ 00.00

If an additional extension of time is required, please consider this a petition therefor.

(check and complete the next item, if applicable)

- ☐ An extension for _____ months has already been secured, and the fee paid therefor of \$ _____ is deducted from the total fee due for the total months of extension now requested.

Extension fee due with this request \$ 00.00

OR

- (b) ☒ Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.

TOTAL FEE DUE**VIII.**

| | | |
|-----------------------|------------------------|-----------------|
| The total fee due is: | Completion fee(s) | \$988.00 |
| | Extension fee (if any) | \$____.00 |
| | Total Fee Due | \$988.00 |

PAYMENT OF FEES

- IX.** ☒ Enclosed is a check in the amount of \$988.00.
☐ Charge Account No. _____ in the amount of \$_____. A duplicate of this request is attached.

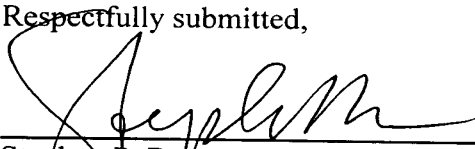
AUTHORIZATION TO CHARGE ADDITIONAL FEES OR CREDIT OVERPAYMENT

- X.** ☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-1446. A duplicate copy of this sheet is enclosed.
☒ Any additional filing fees required under 37 CFR 1.16.
☒ Any patent application processing fees under 37 CFR 1.17.

Respectfully submitted,

September 10, 2001

Date


 Stephen P. Burr
 Reg. No. 32,970

SPB/tlp

BURR & BROWN
 P.O. Box 7068
 Syracuse, NY 13261-7068

Customer No.: 025191
 Telephone: (315) 233-8300
 Facsimile: (315) 233-8320